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ABSTRACT

This document is a practical guide for designing principal-development programs. The target audience includes individuals involved in the design and implementation of principal-preparation and development programs, particularly at the school-district level. Chapter 1, "The Call for New School Leaders and Leadership Development," expresses the need for changing principal-development programs. Chapter 2, "A Brief History of the Duval County-SERVE Leadership Program," describes one particular program. Chapter 3, "Design and Management," presents considerations of the program plan, program content, and resources. Chapter 4, "Participants," examines issues of who will participate and how they will be recruited and selected. Chapter 5, "Content," describes a particular course of study adapted for a principal-preparation program. Chapter 6, "Delivery," examines various techniques that program planners can consider for presenting content to participants. Chapter 7, "Logistics," presents issues related to site, scheduling, materials, and communication. Chapter 8, "Evaluation," considers ways to determine the merit of a principal-development program as it relates to regulatory issues, participant growth, and school improvement. Chapter 9, "Lessons Learned," presents key points from the Duval County-SERVE program, along with other key practices. Each chapter contains guiding questions for program developers that imply a general framework while the answers provide site-specific details. (WFA)

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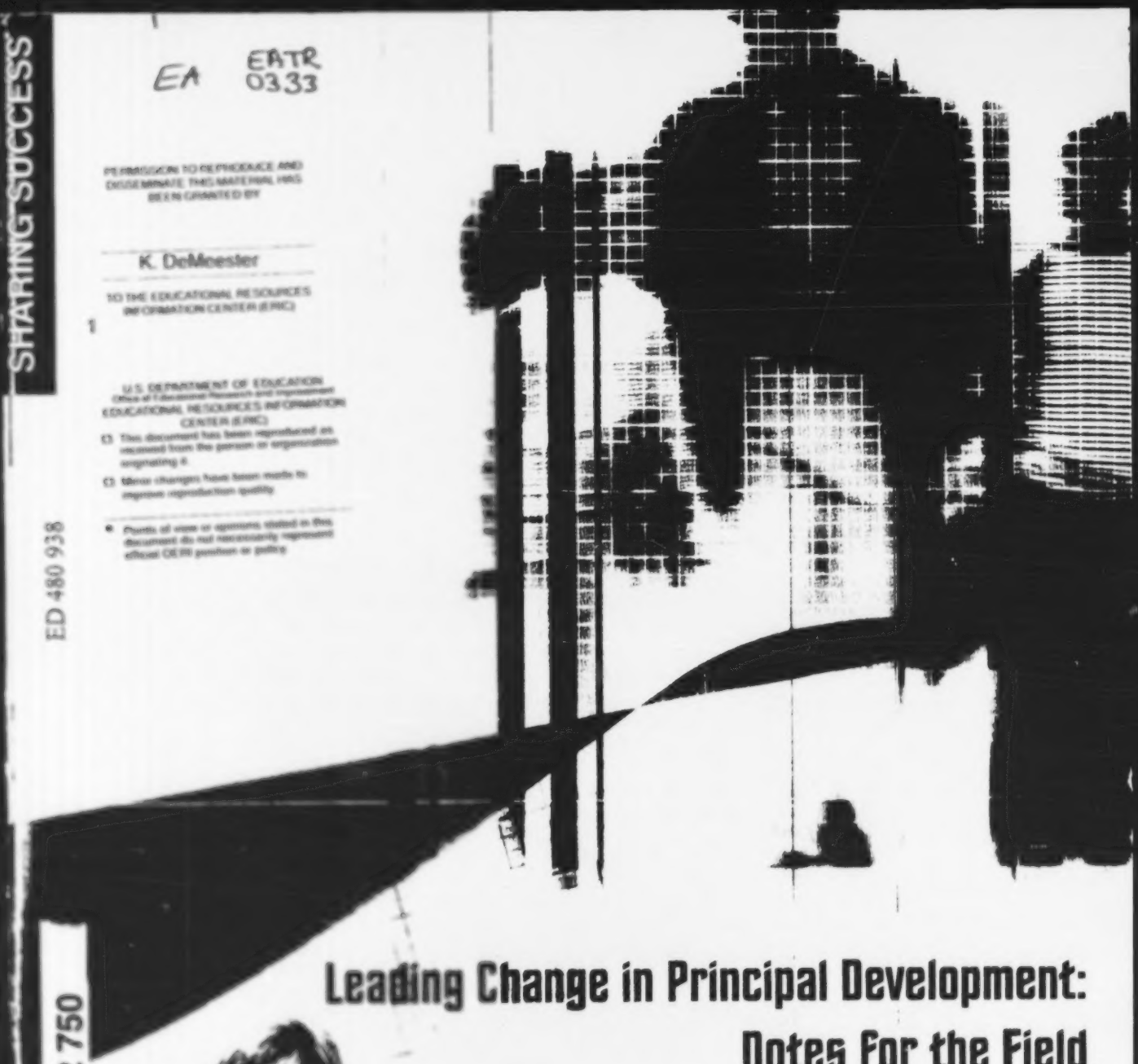

Leading Change in Principal Development: Notes For the Field

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Leading Change in Principal Development: Notes for the Field

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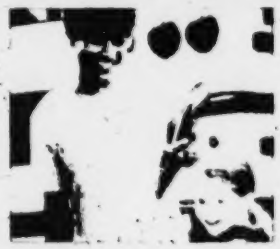


Overview

Purpose and Audience

This document is a practical guide for designing principal development programs that can address the needs of new school leaders. We are referring not to leaders who are merely new in their jobs, but to leaders who are conscious of new realities born of demographic, technological, scientific, and societal trends that threaten the very existence of public schools unless addressed effectively and immediately. The overall purpose of this document is to describe a program that rejects the traditional day- or week-long lectures and seminars in favor of a professional development model requiring more time, commitment, and effort from all involved. We employ case report format both to tell the story of southeastern urban school district leaders who, in partnership with a Regional Education Laboratory, met the challenge of taking an idea, setting it in motion, carrying it to completion, and evaluating its merit. Essentially, we present a framework for creating a principal development program into which individual goals and characteristics of a district site can be accommodated.

The target audience for this practical guide includes individuals involved in the design and implementation of principal preparation and development programs, particularly at the school district level. Among those who may find value in this document are members of local and state education agencies, technical assistants, professors and researchers in colleges that partner with school districts to provide principal preparation programs, and other individuals who support, partner with, or apply leadership development programs at the district level.

Growing your own program for anything, including principal preparation, involves site-specific considerations as well as several overriding factors. Current trends in principal preparation address site-specific considerations in several ways: (a) local districts hold control of identifying and developing their own leaders, (b) local districts create alternatives to traditional university-based programs, and (c) districts become involved in planning and delivering redesigned university programs that are built around comprehensive school improvement models adopted by the district (Bottoms & O'Neill, 2001). Included in the many site-specific variables to consider are available resources for recruitment and retention of school leaders, the demographics of student populations, and the credentialing regulations (Institute for Education Leadership, 2000).

You may be wondering, "Of what help could a 'how-to' document be for designing a principal development program? After all, there are so many variances." Even with the variances, however, there are prevailing factors to consider. Broad yet concrete issues exist regarding design and management, participants, content, delivery, logistics, and evaluation. What should happen during the design period? What factors should program

planners assess prior to implementation? Whom should planners select for participation, and how could they recruit them? What will instructors teach? What form will the instruction take? How will instructors present the content? Where and with what modes of communication will the program take place? How will program planners evaluate the program? The answers are in this document.

Organization of the Document

Chapter 1: The Call for New School Leaders and Leadership Development articulates the need for changing the principal development programs we have.

Chapter 2: A Brief History of the Duval County–SERVE Leadership Program reports on the genesis of the SERVE partnership and leadership development efforts with Florida's Duval County Public Schools.

Chapter 3: Design and Management presents considerations of the program plan (e.g., goals, objectives, connections to other programs, agreements, and understandings), the program content, and resources.

Chapter 4: Participants examine issues of who will participate and how they will be recruited and selected.

Chapter 5: Content articulates a particular course of study adapted for a principal preparation program.

Chapter 6: Delivery examines various techniques that program planners can consider for presenting the content to participants (e.g., seminars, application activities, mentoring).

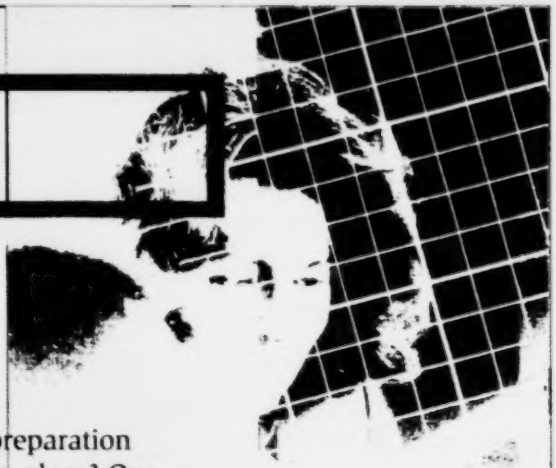
Chapter 7: Logistics presents issues related to site, scheduling, materials, and communication.

Chapter 8: Evaluation considers ways to discern the merit of a principal development program as it relates to regulatory issues, participant growth, and school improvement.

Chapter 9: Lessons Learned presents key points from the Duval County–SERVE program that can inform others of successful practices, as well as practices that can be modified for better program implementation and attainment of program goals.

Within each of these chapters, we present guiding questions for program developers to consider. These questions imply a general framework while the answers provide the site-specific details.

Chapter 1



The Call For New School Leaders and Leadership Development

Why is it necessary to consider changing the principal preparation and development programs that historically have been in place? One reason to change is because of the growing and widespread scrutiny of school leaders and leadership from both professional and popular audiences. The No Child Left Behind Act of 2001 has led policymakers and their constituents to re-examine the role of school-leader quality and its contribution to raising student achievement. Long believed a facilitator for school improvement, effective leadership is cited with increasing frequency and potency in the education practitioner and research literature. Galvanized by the possibilities for change suggested by such broad-based attention and consonant with the belief that what we have now is no longer good enough, education reformers advance new models of leadership. These emerging models proceed from the demands of customer-driven, Information Age learning in a diverse, global marketplace where the face of who teaches and who is taught changes daily. Responsive professional developers and program designers are, therefore, challenged with creating new programs to develop new leadership.

New School Leaders

Although researchers have studied the qualities of effective leaders and leadership development programs for many years, the current press for new school leaders and programs to support them has intensified for reasons beyond those cited above. A number of practical issues challenge us: (a) the growing rate of principal retirement and resignation, (b) increasing growth of school systems and a diminishing pool of qualified principal candidates, and (c) the unrelenting demands of principal work.

First, the retirement and resignation rate of principals has reached unprecedented levels (Hoachlander, Alt, & Beltranena, 2001). A national survey of school district superintendents conducted in 1998, for example, found that 50% of the respondents indicated a shortage of qualified candidates for principal vacancies. Responding district leaders reported that vacancies existed primarily because of principal

retirements (Educational Research Service, 1998). In North Carolina, the Department of Public Instruction recently reported that nearly half (45%) of the individuals with valid North Carolina principal licenses who were, but are not currently, employed in the public schools within the last five years are 55+ years old. Another 19% are between 50 and 54 years of age (North Carolina Department of Public Instruction, 2002).

Second, the rate of school system growth, combined with a decrease in the number of qualified candidates, contributes to the principal shortage. National projections made by the Task Force on the Principalship (Institute for Educational Leadership, 2000) indicate that school systems will grow in this decade by 10% to 20%, creating a need for increased numbers of administrators. At the same time, observers note a marked decrease in the number of qualified educators seeking the principalship (Lashway, 1999). The shrinking number of candidates is due, in part, to career alternatives afforded classroom teachers (historically comprising the primary pool of principal aspirants) through National Board Certification and teacher leadership positions. These alternatives provide teachers additional influence and higher pay without the headaches traditionally associated with the principal's position.

Third, perceptions about the job demands of the principal appear to contribute to the principal shortage. In a 1998 survey of district officials responsible for hiring school administrators, 60% of the districts reported that the most prevalent factor contributing to low numbers of principal aspirants was the perceived lack of parity between the job responsibilities and the salary (Keller, 1998). The second or third most prevalent factors, depending on grade levels, were the excessive time demands or the job-related stress. Similarly, a survey of 90 award-winning principals attending the U.S. Department of Education Principals' Leadership Summit in 2000 indicated that the primary reasons for the shallow pool of principal aspirants were increased accountability and responsibility; decreased support from staff, parents, and community; comparatively low salaries; time pressures; and overall lack of respect (Kennedy, 2000).

New School Leadership Development

New models of leadership for schools in a culturally diverse Information Age marketplace also spur reform among those who design and deliver principal development programs. Research suggests that when principals lead learning communities and distribute authority to all stakeholders, the learning needs of both students and teachers are served (Hord, 1997; Louis & Kruse, 1995). It is instructive, then, both to reflect briefly on the current state of the practice and to articulate the impetus for projected changes in, and a vision for, school leaders and leadership development in the 21st century.

The skills, knowledge, and experiences for leading the schools of tomorrow are quite different from those professional development programs typically offer principal aspirants today (Institute for Educational Leadership, 2000; McREL, 2001). Rather than stimulating new ways of thinking about instruction and student learning, many programs currently place undue emphasis on financial management, labor negotiations, and community relations (Hoachlander, Alt, & Beltranena, 2001). Writing in *Leadership for Student Learning: Reinventing the Principalship*, Task Force on the Principalship members agreed that, although the top priority of the principal must be leadership for learning, the role as currently defined does not meet that priority (Institute for Educational Leadership, 2000). Task Force members assert that the principalship must be "reinvented." The ideal 21st century principal is a leader of student learning, a connoisseur of academic content and pedagogical technique, a developer of teacher leadership, a skilled collector and analyst of data, and a talented consensus builder among all constituents. However, she runs headlong into her reality—and the one for which the principal is traditionally trained—managing a building (Institute for Educational Leadership, 2000; Pounder, Reitzug, & Young, 2002).

Essentially, profound shifts in societal demographics, communication systems, technology, and accountability precipitate the call for leadership reform. Never in history has a society experienced such exponential change in so many areas at once. For example, in the field of technology, Drucker (1994) conjectures that we will witness more inventions in the next 30 years than in the previous 30,000. Every societal trend suggests that principals of tomorrow will be faced with a shortage of qualified teachers, an increased influence of technology, a broadened responsibility to the community, and an accountability system based on academic achievement. Accordingly, societal and technological shifts promise to alter schools and districts in fundamental ways (McREL, 2001). This systemic transformation will irreversibly alter the thinking and behavior of all education stakeholders—particularly school leaders.

Values and beliefs will also play an increasingly important role in leader practice and leadership development. Although the management function of school leadership is important, theorists now suggest that a distinguishing characteristic between effective and ineffective school leaders is the presence of a set of beliefs that guides their work (Pounder, Reitzug, & Young, 2002). By ascribing meaning to their work and making connections between their sets of beliefs and their actions, school leaders effectively create nurturing environments and cultures, facilitate equitable resource allocation, and develop and implement socially just policy (Kochan, Bredeson, & Riehl, 2002). Key to educating principals who are equipped to lead the schools of today and tomorrow is developing a foundation of beliefs and values that promise to serve all children well.

Chapter 2

A Brief History of the Duval County–SERVE Leadership Program

The how-to's of creating a principal development program found in this document are synthesized from our experience with the Duval County Public Schools–SERVE Principal Preparation Program. Originally designed for principal aspirants but equally adaptable for experienced principals, the SERVE Leadership Development Program is a unique, theory-to-practice, year-long course of study developed for in the Duval County Florida Public School System from 1998 to 2001. The Wake County North Carolina Public School System is implementing the leadership program during 2001–2002 and is scheduled to continue in 2002–2003. A brief history of this program sets the stage for an interpretive examination of certain overriding issues in program development.

The Duval County–SERVE partnership began as an "advanced evolutionary stage" (Snyder, 2000) of a program for increasing the leadership abilities of aspiring school administrators. Before the partnership, there was creative work, piloting, assessing, and revising. The beginnings of the program occurred in St. Johns County, Florida, where the newly appointed school superintendent and key district- level leaders set out to reconstruct the county's principal development program. Their focus on contemporary methods of principal preparation was congruent with the current shift in focus from training managers to developing leaders. District leaders selected educational consultant and former Special Education Advisor to Florida Governor Lawton Chiles, Dr. Ronny Green, to design and implement a three-year program for assistant principals seeking principal appointments. The key characteristics of the St. Johns program emphasized life leadership, personal victory, and self-mastery. Facilitators delivered lessons in these areas in bi-weekly seminars and individual mentoring sessions. A portfolio review process constituted the capstone experience of the program, and successful completion led to Florida's then-Level II School Principal Certification.

In 1998, neighboring Duval County, preparing to revise its Human Resources Management Development Plan, partnered with SERVE to develop a comprehensive process for principal aspirants to gain the

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skills, knowledge, and experience necessary for school leadership. The partnership incorporated the St. Johns program into Duval County's leadership development system. The partnership named it the Principal Preparation Program (PPP) and retained the services and expertise of Green, who was then employed by SERVE as Senior Education Program Specialist.

In 1999-2000, in its second year in Duval County, the PPP evolved with the incorporation of a comprehensive program text. The book *Natural Forces: How to Significantly Increase Student Achievement in the Third Millennium* (Green, 1999) became the focal point of the PPP, containing a collection of principles, strategies, and practical applications relevant to educational leaders' learning systems perspectives. The program also evolved with the increase of participants and the addition of a second facilitator, Dr. C. Steven Bingham, Director of the SERVE Program on Educational Leadership. The two groups of participants met for 20 three-hour seminars. Participants also met individually with their mentors, Green and Bingham, several times throughout the year. After 20 seminars, the portfolio review stage began, during which participants presented portfolio documents and discussed program content and experiences with Green and Bingham.

This document presents and summarizes the findings that emerged from an examination of the documents produced during the PPP—from interviews with key players and participants, from participant surveys, and from the field notes of program developers. The chapters that follow represent the our review of the Duval County–SERVE PPP. Their collective purpose is to serve as a practical guide for others involved in principal development programs.

Chapter 3

Design and Management

The design and management of any project plays a defining role in the ownership, implementation, and application of results. Three fundamental points of design and management—plan, content, and resources—further define the shape of ownership, implementation, and application. The plan calls for identification of the goals and objectives of the program. It also specifies how to meet those goals and objectives. The content of the program begins with an examination of current thought regarding the goals of the program, adopts or creates a curriculum to address the issues, and considers how to deliver that curriculum. Finally, designers and managers consider the resources to support the program. These considerations include human, fiscal, and material resources required to plan and implement the program, plus the responsibilities of each stakeholder.

Key Points of Design and Management

- Plan
  - Goals
  - Objectives
  - Relationship to other programs
- Content
  - Alignment with goals
  - Curriculum
  - Delivery
- Resources
  - Human
  - Fiscal
  - Material

Operating within the guidelines of the Duval County Schools Human Resources Management Development Plan's Leadership Development section, existing procedures for principal candidate identification, recruitment, selection, training, and performance appraisal influenced the PPP design. Additionally, internal conditions related to program design included financial support, liaison support, communication, facilities, school-level support, and district-level support. The following sections and chapters describe these conditions in more detail.

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Program Plan

Goals and Objectives

Generally, the goal for Duval County in 1998 was to develop a program for principal succession that would update its previous one. More specifically, the program goal was to orient people who are interested in being school leaders by providing information on skills, roles, and responsibilities of the principalship. District leaders wanted to develop human resources by establishing a network of visionary leaders with increased capacity for theory- and research-based practice. Secondary goals reflected regulatory issues of providing a mechanism for principal selection and certification. Additionally, district leaders sought school improvement, in part, through the Principal Preparation Program (PPP).

Goals of Duval—SERVE PPP
1. Build human resource capacity 2. Address regulatory issues 3. Improve schools

Considerations Regarding Goals
1. Are the goals related to regulatory issues? 2. Are the goals related to building human resources? 3. Are the goals related to school improvement? 4. Which goals are primary? 5. Which goals are secondary?

Relationship to Other Programs

Initially, the plan started teachers who were interested in advancing their leadership skills and possibly their professional positions in the Teacher Leader Training program. From here, participants could move to the Administrative Training Program and study school management issues. After this stage, participants would matriculate to the Principal Preparation Program for in-depth exploration of leadership issues. Following some evolution and regrouping, program planners established a multi-step Principal Career Path. New principal aspirants would begin in the new plan while participants in the earlier forms of the overall plan phased into the new path.

The Principal Career Path consisted of three phases, each requiring successful completion of the previous phase. First, teachers and assistant principals aspiring to become principals participated in the Leadership Development Program. The program consisted of seminars, workshops, and question-and-answer classes focusing on the site-specific duties and skills of school administrators. Continuing along the path, participants participated in Part I of the Principal Certification Program. Participation

in this year-long program involved seminars and mentoring in leadership (as opposed to management) issues. Following successful completion of Part I, participants engaged in Part II of the Principal Certification Program, a 12-week mentoring program with selected principals. Upon recommendation and approval by the regional superintendent and endorsement by the district superintendent, those participants became eligible for Level II certification as school principals.

Duval County Principal Career Path

I. Leadership Development
   - For teachers and assistant principals
   - Focus on school management

II. Principal Certification Program, Part I*
   - For principal aspirants
   - Focus on leadership

III. Principal Certification Program, Part II
   - Mentoring with current principals

** Referred to as PPP in this document*

The second step in the career path, Principal Certification Program, Part I, represents the core of educational leadership development and, therefore, it is this component of Duval's overall principal development program that this document examines more fully. For purposes of clarity, this document refers to this step in the career path as the Principal Preparation Program (PPP), which is how participants and facilitators commonly refer to it.

Considerations Regarding Other Programs

- Where does the program fall in the sequence of principal development?
- Are the program goals consistent with the broader plan?
- Do the program goals amend or support the goals of prior and subsequent programs?

Agreements and Understandings

The program plan also included specific dates and delivery expectations agreed upon by SERVE and the client district. Specifically, SERVE was to deliver 20 instructional sessions per year. SERVE and Duval County also agreed that the implementation of the sessions would be coordinated through the director of the district's Human Resources Management Development program. The presentation of these specific agreements and understandings is not to suggest that program planners should duplicate them. Rather, they provide examples of situation-specific agreements. These agreements will vary among sites, partnerships, and contracts, but planners should make them

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a part of the program plan in whatever form they take. Specifying agreements and expectations is an important element in the process of establishing intent between individuals and organizations (Green, 2000). That intent sustains the momentum of a project and provides the groundwork for trusting relationships (Covey, 1991) and fulfills the stakeholders' need for certainty (Green, 2000). Additionally, deliverables and timelines can provide the accountability systems necessary for programs that involve more than one organization and/or more than one key player in the implementation of the program.

Considerations Regarding Agreements and Understandings
How will agreements and understandings be formalized?
How will parties be held accountable?
What is to be delivered?
When are products needed or expected?

Program Content

The short-term effect of the principal development program on principal aspirants and the long-term impact it might have on the quality of education in Duval County were critical issues in the design of the PPP content. From the participants' perspectives, the content needed to be relevant to their career paths, and it needed to contribute to their ability to demonstrate competent leadership. From the district's perspective, the content needed to effect change in schools.

The Interstate School Leaders Licensure Consortium standards (Council of Chief State School Officers, 1997) provided a set of guidelines for developing the program content (see **Appendix A**). The goals and objectives of Duval County's Human Resources Management Development Plan also shaped decisions for what would be included in the instruction and how facilitators would deliver that instruction. By adopting the program begun in neighboring St. Johns County Public Schools, Duval County and SERVE were able to assess the fit between the pre-designed program and the needs of Duval County. Flexibility for making adaptations in the instruction was an integral part of the program. Accordingly, seminar facilitators could select instructional pieces that were best suited to their particular expertise and style of presentation. Additionally, planners made mod-ifications in delivery processes to suit the needs of participants and the schedules and travel demands of facilitators. The content used in the PPP provided the knowledge and skills principal aspirants needed for developing leadership abilities and ostensibly added to their previously learned skills related to school management. In addition to suiting the participants' needs for professional development, mastery of the content would meet, in part, their needs for certification. In other words, the content would lead them to higher levels of understanding and knowledge as well as higher certification levels. Having a pipeline filled with prepared, qualified, and appropriately

certified individuals would address the county's need for trained and qualified leaders to effect school improvement.

A major premise of the program is that a school's level of performance cannot rise above its leader's level of thinking. Specifically, improving school quality and student achievement is a function of leaders' use of practical knowledge rooted in the psychological laws that govern human behavior. Building on the work of Deming, Ackoff, Senge, and new science thinkers, the aim of the program is to improve school leaders' use of tools and strategies based on natural laws. **Chapter 3** of this document presents further description of the content and delivery of instruction for the Duval County-SERVE PPP.

Considerations Regarding Content
☐ Does the content fulfill the professional growth needs and certification needs of the participants?
☐ Is the content flexible to take advantage of the expertise of the facilitator?
☐ Will the content address the needs of the school district?
☐ Is the content based on traditional or newer models of leadership?

Program Resources

Human

Program designers and managers of the Duval County-SERVE Principal Development Program recognized that a variety of stakeholders was essential for the success of the program. Program planners also realized that continuous involvement of key players significantly affected the efficiency of implementation, the common understanding of process and intent, and the attainment of program goals.

The administrative structure of a school district provides the scaffolding for program design in terms of who holds responsibility for implementing the district's leadership development guidelines and who facilitates coordination between the district and persons outside the school system. In Duval County, five regional superintendents, reporting to the District Superintendent, held the responsibility for implementing the guidelines of the Human Resource Management Development Plan (HRMD). Their involvement in the PPP was from a macro-management perspective, however, and other key personnel from the district managed the program's incorporation into the county's Principal Career Path. **Table 1** (on the following page) presents the positions held by these key personnel and their primary responsibilities related to the PPP.

Designing and administering a leadership development program also involves using the participants as human resources. While participants are typically considered consumers of the program, it is also wise to include them as resources for program enhancement.

Table 1: Positions of Key Personnel and Related Responsibilities

Position/Affiliation	PPP Responsibilities
Chief of Staff, Duval County District Office	Hired and assigned key district staff
Director of HRMD, Duval County	Aligned PPP with other human resource programs and initiatives
Program Consultant, Duval County Center for Professional Development	Coordinated first-level administrator's training (pre-requisite for PPP participation); In charge of Principal Perceiver process, assessed leadership styles
Staff Member, Duval County Center for Professional Development	Duval County-SERVE liaison, 1999-2000; Coordinated PPP logistics, schedules, facilities, supplies, attendance records
Crowne Consortium Director, under contract with Duval County Center for Professional Development	Duval County-SERVE liaison, 2000-2001; Coordinated PPP logistics, schedules, facilities, supplies, attendance records
Education Leadership Program Director, SERVE	Facilitated seminars, assessed student learning, coached students, oversaw program budget and evaluation
Private Contractor	Designed program's content and delivery, facilitated seminars, assessed student learning, and coached students

Their unique experiences and perspectives can expand the scope of understanding of program content. Participant involvement in the design of a program is also an effective way to determine their motivation for learning (Kochan, Bredeson, & Riehl, 2002). In the Duval County-SERVE PPP, program planners solicited participant perspectives for ongoing formative program evaluation and refinement. Additionally, facilitators established learning teams at the beginning of the year for purposes of reporting and discussing the topics studied. Facilitators also utilized participants as resources by establishing a system for public recognition of a classmate's contribution to another's leadership development. Participants presented this Networking Award to other participants semi-annually.

Establishing connections between human resources and the mission of the program is an important overriding factor in the development of leadership development programs and, as such, should be carefully designed and managed. Stakeholder ownership in the PPP was facilitated by publicly crafting a written contract clarifying facilitator, district, and participant expectations and responsibilities. This psychological contract among participants, facilitators, and district personnel specified the roles of each party and facilitated understanding of the outcomes that the program hoped to accomplish. **Appendix B** presents the 1999-2000 contract from the Duval County-SERVE PPP as a suggestion of points and parties to include in such an agreement.

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Considerations Regarding Human Resources

- What administrative or organizational structures already exist?
- Which program roles and functions must be assigned?
- What roles need to be filled to carry out the program?
- Will the roles be filled by in-house personnel or individuals from external agencies?
- How will support from key stakeholders be garnered and maintained?
- Who will coordinate the human resources?

Fiscal and Material

Program design and management must take into account pre-existing, as well as new, structures for fiscal and material resources. Existing funding and physical structures, plus new sources of income, affect the availability of photocopied materials and books, computers and Internet/e-mail capability, audio-visual players and tapes, demonstration materials, meeting facilities, and dining and sleeping accommodations. There are innumerable options for acquiring the necessary fiscal and material resources, just as there are innumerable possibilities for what the necessary resources are. Program developers may arrange pooled funds from various organizations or separate streams for particular needs based on the specific characteristics of the program and the stakeholders. The key is to have a clear understanding of where resources will come from and to pre-plan for their use.

In the Duval County–SERVE partnership, SERVE (through its Regional Educational Laboratory contract with the U.S. Department of Education) absorbed the costs of facilitators' salaries, travel, material development and copying, media purchases, consultant expenses, and program evaluation. Duval County paid for participants' reading materials (a small personal library of current literature on leadership) and self-assessment instruments, provided meeting facilities, and rendered in-kind services.

When considering the purchase of the centerpiece textbook, *Natural Forces*, planners needed to ensure its affordability while, at the same time, allowing the negotiated price to cover the costs of the provider. One option that program planners considered was to publish the text online. However, the online option was not a viable solution because not all participants had regular access to the Internet. The text in its printed, three-ring binder format was considered user-friendly, allowing easy duplication of pages for sharing with colleagues and enabling participants to rearrange page order to link related book sections together. Furthermore, the "Think and Reflect" and "What's the Point?" sections of the text proved to be excellent for generating small-group discussions in class, and the convenience of having a printed version available was important to this end.

Important to many aspects of the PPP program was the presence of a liaison between SERVE and Duval County in the appropriations and arrangements of material resources.

The logistical issues that were handled by the liaison (more fully described in **Chapter 5**) affected not only the delivery of instruction but ultimately the participants' perceptions of the program.

Table 2: Specific Resources Required For Duval–SERVE PPP

Human Resources	Material Resources
Program content and delivery planner	Portfolio supplies
Program participants	Books
Program facilitators	Three-ring binders
Visiting experts/outside speakers	Printed instructional materials
Supervising principals/administrators	Audio-visual materials and equipment
Duval County–SERVE liaison/logistics coordinator	Demonstration materials
District program coordinator	Self-assessment instruments
District administrators/superintendents	Meeting facilities
	Computers with Internet access

Considerations Regarding Fiscal and Material Resources

- What fiscal and material resources are needed for the program?
- Which of those resources already exist?
- What new fiscal and material resources are needed?
- Should material resources be printed, taped, or available online?
- Where will the needed fiscal and material resources come from?
- Who will coordinate the acquisition, arrangement, and distribution of fiscal and material resources?

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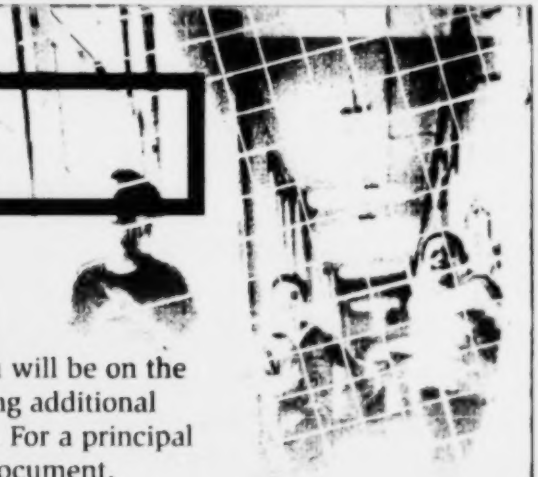
Chapter 4



Participants

Clearly, participants in a leadership development program will be on the path from one school position to another or will be seeking additional skills and knowledge to improve their leadership abilities. For a principal development program such as the one examined in this document, this translates to individuals seeking to move from one school-based leadership position (e.g., assistant principal or vice principal) to a higher tier of school-based leadership—the principalship. Inherent in their desire to move from one position to another is the complex issue of motivation for learning and professional development. An individual's disposition toward growth, his or her personal and professional goals, or an environment of accountability can all influence—positively or negatively—one's motivation to learn (Kochan, Bredeson, & Riehl, 2002). These factors have relevance to the self-selection criterion that plays a part for all program attendees.

State and District Context

Program planners need to identify who will participate and how the participants will be recruited and selected by referencing any site-specific titles, adhering to district structures, and identifying, when possible, individuals' motivations for participation. Program planners need to attend to the governing guidelines of their state and district with regard to participant selection. The PPP operated within guidelines established by the Florida Legislature in the Management Training Act of 1979. Under the Act (now voided), each district in the state had to plan, create, operate, and evaluate its Human Resources Management Development initiatives as prescribed by the Florida Council on Educational Management (FCEM). These guidelines included principal candidate identification, recruitment, selection, training, and performance appraisal.

Planners also need to attend to the issues of transition as districts phase out one program and begin to implement a new one. As the PPP evolved, so did the overall principal career path and the participant identification and selection procedures. The changing patterns in the principal career path and its staged components had various effects on principal aspirants who entered the career path in different years and those who entered the career path serving in different levels of administrative positions. Duval

County district administrators recognized the effect of the transition and proactively adjusted the required and voluntary preparation activities. The district offered many participants preparation activities consistent with the positions they held during the career path's transition year, while giving others opportunities to close the gap between their training and their positions. The transition year was "designed to leave no one behind while realigning selection, preparations, and evaluation" (Arab, 2000).

Linking Principal Reinvention with Selection Criteria

The Institute for Educational Leadership's Task Force on the Principalship (2000) investigated the dilemmas and possible solutions for reinventing the role of the principal for tomorrow's schools. The Task Force recommended attention to three key issues: (1) "fill the pipeline" with qualified leaders, (2) support the principalship through training, salary, and the development of common goals and actions, and (3) guarantee quality and outcomes through principal evaluations that emphasize accountability for student learning. With regard to filling the pipeline, the Task Force identified the need across the nation for more constant and organized recruitment efforts by superintendents, current principals, and human resource departments. The Task Force also recommended recruiting underrepresented women and minorities to the principal preparation programs in order to better reflect the student demographics. The Duval County Public Schools Professional Development Task Force (1999) reinforced these recommendations, which heightened the importance of the PPP and lent credibility to the selection process. Duval County's Task Force recommended adopting a career ladder to be realized in two ways. First, program planners would provide training and opportunities to develop teachers as leaders. Second, district personnel would craft formal agreements with university faculty to jointly recruit and select candidates for university-based certification programs. Actions taken in Duval County to address these recommendations through the PPP included evaluation efforts that informed the implementation of a coordinated effort to identify and address participants' varied preparation activities.

The criteria considered for participant selection, though fluid during the years of transition from one overall principal development program to the revised one, included the following:

- Application of principal aspirant
- Principal recommendation
- Successful teaching experience
- Certification level
- Interviews with regional directors and human resource staffing supervisors
- Recommendations from regional directors
- Successful completion of individual professional development plans

- Adequate scores on screening devices (e.g., the Principal Perceiver)
- Performance reviews
- Appointed position

When reduced to the basic components, the selection process involved (a) initial self-selection; (b) recommendations by and interviews with principals, regional directors, and human resource personnel; and (c) review of credentials.

The progression of principal aspirants from one stage of training to the next was determined by successfully attaining benchmarks associated with the lower stages. Specifically regarding the PPP examined in this document, the benchmarks required at the beginning of the transition year included completion of a training program focused on management issues and an appointment as Teacher-in-Service, Vice Principal, or Cluster Leader. Planners and facilitators for this stage of the overall program described the participants as "viable people, ready to go."

Considerations Regarding Recruitment and Selection of Participants

- What do state and district guidelines mandate?
- How will participants be transitioned from one program to a new one?
- How will potentially high-quality leaders be identified and by whom?
- What are the prerequisites for program entry? (certification, position held, previous training, scores, etc.)
- What measures will be taken to recruit leaders reflecting the demographics of the student body?

Chapter 5

Content

Program developers need to consider the overlapping needs of school leaders when planning the content of an overall principal development program. First, principals need to know the strategies and techniques for working with issues of school management such as budgeting, student behavior, or district procedures. This technical knowledge (Kochan, Bredeson, & Riehl, 2002) enables leaders to predict and control situations. Second, principals need to know the tools and strategies for leading change. Different from management, leadership issues—such as facilitation, shared decision-making, and human development—are necessary components of a comprehensive principal development program. This closely parallels the description of practical knowledge sought by school leaders (Kochan, Bredeson, & Riehl, 2002). Professionals seeking practical knowledge want to learn how to understand and interpret situations. The Institute for Educational Leadership's Task Force on the Principalship recommends that programs for principals of tomorrow's schools focus on instructional issues. Third, principals need guided application of what they learn about management and leadership. Through mentoring, coaching, and using dialogue as a fundamental practice, facilitators should provide principals liberal opportunities to practice their craft and refine their techniques through feedback and reflective loops. By engaging in critical examinations, learners can gain emancipatory knowledge that can better foster reform by allowing school leaders to deconstruct traditional ineffective paradigms and reconstruct ones that work in today's schools (Kochan, Bredeson, & Riehl, 2002).

Duval County's design for principal succession includes all three important aspects of principal preparation in the various stages of the overall program. Initial stages include instruction in school management—the day-to-day business of operating a school. The content of the Duval County–SERVE PPP focuses on the issues of leadership, and mentoring and coaching supported this content. The culminating experience of a 12-week mentoring program with selected principal advisors fills the application and feedback needs of participants.

The concepts and models of systems thinking, holistic human development, and the interplay of basic principles that control interpersonal relationships in organizations form the core of the PPP's content. Life leadership, self-mastery, and personal victory are emphasized as the centerpiece of the PPP. Green's *Natural Forces: How to Significantly Increase Student Achievement in the Third Millennium* focuses on the dichotomies shown in **Table 3**.

Table 3: PPP Areas of Focus

Thinking First	vs.	Just Doing It
Natural Law	vs.	Best Practices
Character	vs.	Technique
Synthesis	vs.	Analysis
Effectiveness	vs.	Efficiency
Quality of Work Life	vs.	Getting the Job Done
Love	vs.	Who Cares?

The focus on leadership did not undermine the importance of effective management as it relates to organization policy, procedure, and protocol. Rather, the content of the PPP examined in detail the features of leadership that reflect current thinking on creating dynamic, collaborative learning and working environments. A recurrent theme throughout the program was the focus on two parallel intentions: (1) increasing student achievement and (2) improving the quality of work life for all stakeholders.

Specific topics addressed during seminars included the following:

(1) Orientation
(2) We Live Inside the Universe
(3) The Brain and Performance
(4) Thinking and Performance
(5) A New Way of Thinking
(6) Universal Energy Flow Formula
(7) Intention and Shared Vision
(8) Synergy and Mental Models
(9) Living Synergistic Systems
(10) Analysis and Performance
(11) Analytic-Based Selecting, Training, and Appraising
(12) Do You Have a Contract?
(13) Contracting with Stakeholders
(14) Strategic Planning
(15) Strategic Intent Precedes Planning
(16) Monitoring a Strategic Plan
(17) Components of Strategic Intent
(18) The Second Law of Thermodynamics
(19) Governance and Structure
(20) Learning Organizations

Considerations Regarding Content

- Does the program itself or a related program cover issues of school management?
- Does the program itself or a related program cover strategies for leading change?
- Does the program include guided application of content?

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Chapter 6

Delivery

The delivery of the content of a leadership development program will have a major impact on the receptiveness of participants, on the breadth and depth of learning, and on the application of learned concepts and skills. Kochan, Bredeson, and Riehl (2002) review a wide array of activities and settings and their many possible combinations.

The more promising practices for enhancing professional development are:

- Learning within the school
  - Collective reflection on instructional practice
  - Review of data-based indicators of school effectiveness
  - Action research
- Examining colleagues' practices
  - Shadowing
  - Peer visitations
  - Job exchanges
  - Sabbatical leave
- Technology
  - E-mail discussions
  - Chat rooms
  - Online information resources
- Graduate programs
  - Cohort groups
  - Case studies
  - Field-based, applied research
  - Mentoring
- Support and counsel of other school leaders
  - In-system colleagues
  - Out-of-system experts
- Linking with school board members, parents, and community leaders to solve common problems
- "Critical friends" (Costa & Kallick, 1993)

Planners can incorporate many of the options for facilitating professional development into the delivery of content within the constructs of a professional development program. Planning a leadership development

program, therefore, requires extensive thought and preparation for how facilitators will transmit the content to participants. Planners will need to consider the physical proximity of participants and facilitators, the activities in which participants and facilitators mutually or exclusively engage, the selection of instructors or facilitators, and the sequence, pace, and timing of instruction. For example, options for proximity might include off-site retreats, on-site group meetings, one-on-one mentoring, or asynchronous distance education. Activities to convey information may include direct lecture, simulations, group work, or Socratic seminars. Peers, supervisors, or external personnel may serve as instructors or facilitators. Facilitators may present content pieces in a pre-set order or as non-linear concepts. The complexity of the content will likely influence the pacing. As such, planners must examine the topics of each lesson and the length of time between lessons for participants to digest and practice what they have learned. The timing of instruction may correspond to the content, but even if it does not, the scheduling will need to take into account the other daily, weekly, monthly, and annual responsibilities of participants.

The Duval County–SERVE PPP delivery format included four main features:

1. Regular seminars included flexibility in topics and sequencing of topics.
2. "Homework" assignments allowed for individual study, reflection, and applied learning.
3. One-on-one conversations between participants and facilitators promoted close mentor–mentee relationships.
4. "Teaching-to-learn" activities engaged participants in providing instruction to those in earlier stages of the overall leadership development program.

Seminars

The seminars during the 1999–2000 year took place bi-weekly for 20, three-hour evening sessions. During the 2000–2001 year, ten seminars were scheduled approximately one month apart for either eight hours on a Friday (with one hour for lunch) or three hours Thursday evening and continuing for four hours Friday morning. Schedules coincided with the school-year calendars in Duval County and ran from early October through the end of June.

Participants liked the ratio of participants to facilitators (i.e., 20:1) in seminars because facilitators were more accessible for individual concerns and comments. Small class size also maximized the opportunity for interaction among participants.

The first meeting of PPP participants and facilitators was an orientation session designed to acquaint principal aspirants with the expectations of the program, the expertise of the facilitators, and an overview of the content of the program. At this orientation

meeting, facilitators also gave participants the course schedules, their *Natural Forces* text, and a personal library of books on leadership. Participants and facilitators developed a psychological contract that clarified facilitator, district, and participant expectations, roles, and responsibilities.

Subsequent seminars were built around the topics presented in *Natural Forces*. They were flexible in terms of which topics the facilitator chose to deliver (from a seminar package that included more instructional pieces than could be reasonably delivered in one-session) and in terms of sequencing the topics. The facilitator, therefore, could tailor each seminar package to his unique preferences and areas of expertise. This built-in opportunity for facilitator differences indicates a high potential for transferability of the PPP to other settings with other facilitators. **Appendix C** provides an example of a seminar package, which includes suggested room arrangements, materials, topics, and activities. The seminar packages have since been revised to improve facilitation (e.g., activity objectives, times, etc.).

Although the positive effects of built-in flexibility were significant, program planners embedded certain recurrent activities that served to create coherence from one session to the others. The use of audiotapes, video clips, and overheads summarizing key points of the seminar were included in virtually all deliveries. Participants had regular practice in dialogue and public speaking. Some of these particular recurring events were marked with their own unique language, which also became a unifying tool for participants. For example, each seminar included "check-in" and "check-out" rituals, a "humor item," and "emotional offerings."

The PPP utilized a variety of delivery techniques and principles during the multi-media seminars. They included the following in various degrees and proportions:

- Different topic each time
- Dialogic practice
- Review of assigned readings
- Key-idea overhead transparency presentation
- Video-audiotape (popular and professional)
- Simulations
- Role-playing

Facilitators recognized the need for participants to "hear themselves talking" in order to learn who they are and how they lead. The facilitators incorporated frequent opportunities for small- and whole-group discussion of topics into the delivery format for this purpose. Over time, participants began to adopt the program vocabulary (i.e., "systems thinking," "psychological contract," "universal energy flow," etc.) into their regular conversations.

Of particular note was the use of multimedia resources to gain the emotional involvement of the participants. Based upon Goleman's work on emotional intelligence (1998)—brain research that finds all learning is tied to emotion—a variety of stimulating audio and video clips and creative overhead transparencies were presented to stir and stimulate the participants' various emotions. Cognitive, affective, and physical experiences combined to engage all aspects of mental, physical, spiritual, and social-emotional needs of the participants. Planners considered this multisensory approach as the life of the program in that content without engagement was meaningless.

Independent Study and Applied Learning

Outside of the seminars, content delivery took the form of assignments for independent study and applied learning. Participants in the PPP spent equal amounts of time engaged in seminar sessions as they did engaged in independent study activities such as the following:

- Book study
- Psychological self-assessment
- Journaling
- School-site application of seminar content
- STAR© Report describing the application
- School improvement project

STAR© Report

***Natural Forces* Content Application Description**

Situation Description: Tell whether you created the situation or if it occurred spontaneously. Provide sufficient clarity.

Task You Addressed: Briefly state the task you faced—not how you handled it. Identify your specific purpose. What had you hoped to achieve?

Action(s) You Took: Briefly describe the action(s) you took in handling the task and responding to the situation. Describe what you did using personal pronouns such as *I*, *my*, *mine*, and *myself*.

Result(s): Describe what you believe occurred because of your actions and whether or not you achieved your intent.

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Identified Books List

1. *Leadership and the New Science: Discovering Order in a Chaotic World*, Margaret Wheatley—Barrett-Koehler
2. *Dr. Deming*, Rafael Aquayo—Simon and Schuster
3. *The Fifth Discipline*, Peter Senge—Doubleday
4. *Jesus CEO*, Laurie Beth Jones—Hyperion
5. *The Democratic Corporation*, Russell Ackoff—Oxford University Press
6. *Natural Forces: How to Significantly Increase Student Achievement in the Third Millennium*, Ronny Green—Author
7. *The Living Company*, Arie de Geus—Harvard Business School Publishing
8. *Synchronicity*, Joseph Jaworski—Berrett-Koehler
9. *The Leadership Challenge: How to Keep Getting Extraordinary Things Done in Organizations*, James Kouzes and Barry Posner—Jossey-Bass
10. *Emotional Intelligence*, Daniel Goldman—Bantam
11. *The Four-Fold Way*, Angeles Arrien—Harper
12. *The Seven Spiritual Laws of Success*, Deepak Chopra—Amber-Allen Publishing
13. District Selection
14. District Selection

It is assumed that all candidates have read The 7 Habits of Highly Effective People *by Stephen Covey.*

Mentoring and Coaching

As mentioned in **Chapter 3**, content, mentoring, and coaching make up a critical component of effective principal preparation programs. The Institute for Educational Leadership's Task Force on the Principalship (2000) also emphasizes this component by suggesting the integral involvement of hands-on experience, networking with effective principals, and mentoring and coaching at the school and district levels.

For the first cohort of program participants, the PPP mentoring strategy engaged the program facilitators and each of the participants in their respective seminar groups in multiple private conferences. Between four to seven mentoring and coaching sessions were conducted with each participant during each year-long program. Facilitators and participants carried out these sessions in person, through e-mail, or by telephone. Seminar size was limited to 20 participants per facilitator in order to offer a more personal facilitator-participant relationship that, in turn, would support the mentoring and coaching component. The sessions provided individualized opportunities for problem solving, encouragement and discussion of applications of course content at the work site, assessment of the participants' needs, clarification of expectations for participants, and feedback on developmental progress. Participants told the facilitators and interviewers that the opportunity for focused, collegial conversation was the most

satisfying and meaningful aspect of the PPP. The second cohort of participants developed mentor-mentee relationships with district principals for the year following their seminar participation.

The PPP participants entered the program with varying degrees of interest, ability, and commitment to leadership. Just as in a school classroom, the facilitators had to tailor the program to help individual participants increase the chances to discover and reach his or her full potential. Through mentoring and coaching, facilitators met their responsibilities to promote personal and professional development, to assess participants' comprehension of program content, and to assist participants in applying that program content to their workplace behavior. Similarly, mentor principals for the second cohort of program participants provided the individualized and direct feedback needed for successful application of program content.

Teaching to Learn

The fourth primary mode of delivery in the PPP used the "teaching to learn" strategy to enhance the development of participants' understanding and application of the PPP content. Engaged in a three-person teaching opportunity (Covey, 1989), the PPP participants were paired to lead small groups of teachers who had been identified by the district as having potential for leadership. These teachers, numbering over a hundred, met just prior to the regular seminar meetings of the PPP participants. During the teacher-leader meeting time, facilitators assigned the paired PPP leaders from each facilitator group to introduce the teachers in their groups to selected content components of the PPP.

Considerations Regarding Delivery
Does the delivery reflect current thought on adult learning? How does the delivery format provide consistency across lessons? How will the delivery accommodate different learning-styles, rates, interests, and abilities? For the content of the program, which delivery format(s) is/are effective? Efficient? Viable? How will delivery formats move participants from direct presentation to guided practice to independent application?

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Chapter 7

Logistics

The importance, difficulty, and impact of logistical planning for all components of a principal development program should not be underestimated. Depending on how well logistics are managed, they can undermine or enhance the goals of the program, the theory-to-practice matters of content, the creative delivery of information, and the evaluation of the success of the program. Considerable amounts of staff time need to be devoted to site, scheduling, materials, and communication issues. Rather than an add-on responsibility to a staff member's job description, logistics handling should be the primary, if not sole, responsibility of one person. Functioning as a liaison between two or more parties (e.g., district administration, participants, and facilitators from other organizations) requires a proactive approach to the details of "where," "when," "how," "who," and "to what extent." Liaisons also meet the critical need for communicating those details to all stakeholders.

For the Duval County–SERVE PPP, logistical concerns included the following:

- Identifying where to hold the seminars and exit interviews
- Determining how and where to conduct one-on-one mentoring sessions
- Scheduling seminars to accommodate facilitator and participant needs
- Scheduling exit interviews to fit within time constraints of participants, facilitators, and district policies
- Acquiring necessary materials for participants and seminar demonstrations
- Reserving the use of shared media equipment
- Creating and maintaining databases of information on participants, facilitators, and district personnel
- Distributing, collecting, analyzing, and reporting ongoing evaluations of participant satisfaction

One particular circumstance that came from phasing in a new overall plan for principal preparation was the logistical issue of tracking individuals, positions, and training segments as participants transitioned

from one plan to the next. This required careful documentation of who was in which program at what level and where they needed to go next. Program participants and administrators found that clear, advance communication of changes and expectations was critical for smooth integration of the new or blended stages in the multi-step program.

The value of efficient and effective communication throughout all aspects of the PPP design, management, implementation, and evaluation required attention to the logistical matters of disseminating information. District personnel, facilitators, and their liaisons used e-mail and telephone calls for a great deal of their communication. E-mail accommodated their busy and unaligned schedules while the telephone calls allowed for any extensive discussions or negotiations. They used fax machines to share documents such as evaluative summaries, draft reports, and portions of district task force findings. Facilitators and the district liaison periodically held in-person meetings to discuss matters of program alignment and effectiveness.

Facilitators and participants sometimes communicated outside of seminars via e-mail messages. Again, this mode accommodated the need for asking questions and clarifying information in a timely manner that avoided scheduling conflicts.

Since not all participants had resources available for sending and receiving e-mail, the district utilized paper memoranda to share information regarding changes in the program, selection to participate in the program, or other such matters. This mode of communication ensured consistency of the disseminated information as long as databases were up-to-date and accurate and school-based systems facilitated timely delivery of mail to school-based personnel.

Considerations Regarding Logistics
Who will manage the logistics of the program? When will meetings and conferences occur? Where will face-to-face meetings occur? What external factors will need to be considered (e.g., shared resources)? What information is necessary to collect for the program's database? What is the timeline for acquiring and distributing materials, scheduling meetings, and reserving meeting space and audio-visual technological resources? What means will be used to communicate the logistical details to all stakeholders?

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Chapter 8

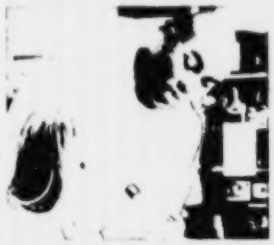
Evaluation

Program evaluation, in general, can be formative, summative, or a combination of both. Evaluation findings can inform the ongoing evolution of a program as well as determine the effect the program has on participants. A more ambitious goal of program evaluation is to determine the effect of the program on the schools in which participants work. Due to the innumerable factors that affect school quality and student success, evaluators are more likely to limit their focus to the program's impact on certain aspects of a school.

For the Duval County–SERVE partnership, program evaluation was of utmost importance. Accountability to the funding agency (U.S. Department of Education) drove, in part, the evaluations. In addition, because this was a program that "tested" the viability of the overall design, content, and delivery, formative and summative evaluation were intrinsic components of the PPP. SERVE developers recommended four generic research and evaluation design components for the 1999–2000 year.

Developers selected these components to answer the following questions:

1. What are the recommended performance outcomes of leadership development, and what do stakeholder groups look for in leadership performance and school site achievement as indicators of success?
2. What assessment strategies and instruments will be necessary to achieve short-term assessments of instructional objectives and learning outcomes of each program component? Who will be responsible for these assessments? How will the assessment results be documented and reported?
3. What adjustments in the instructional innovations are appropriate as the training program is in process and why? In what ways do these adjustments impact program effectiveness?
4. What identifiable factors have an impact on the success of the program, its components, and its participants' learning and performance?



The first two questions address pre-implementation decisions: What will be assessed, and how will it be assessed? Duval County and SERVE wanted to measure goal attainment as it pertained to three ostensibly distinct categories: (1) regulatory issues, (2) human resource development, and (3) school improvement.

The "what" of assessment, then, became the regulatory issues that district personnel strove to meet through the PPP; the reaction, learning, and behavior of participants; and the changes in student or school performance that occurred as a result of participant learning and behavior. The following sections include discussion of these three topics along with the "how" of assessment for each.

[Note: Readers may find the results of the PPP evaluations in other documents available through SERVE; however, the purpose of this chapter is to present options for program evaluation that may be used by other program planners.]

Regulatory Mandates

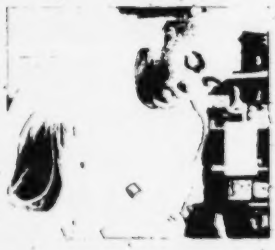
As with all Florida counties, the state of Florida charged Duval County district personnel with providing a mechanism for principal selection and certification. Attainment of these regulatory mandates was measured by the creation and dissemination of the Principal Career Path document (1999). **Appendix D** includes a reproduction of this document.

One point of particular concern to program participants was that their PPP performance appraisal should relate to the district appraisal system and to state certification requirements. Because the PPP was part of a certification program, the superintendent recommended the school principal certificate only for those who met all requirements as defined in state law and Department of Education regulations. Notably, of the program participants 1999–2000 and 2000–2001 cohorts, one-third have been advanced to higher levels of administrative responsibility.

Participant Growth

Using Kirkpatrick's (1996) four-level model for evaluation, program planners can consider participant growth in terms of reaction, learning, and behavior. (The following section on evaluation of school improvement discusses Kirkpatrick's fourth level.)

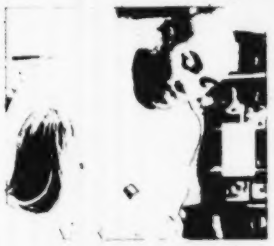
First, planners measured participants' growth—the human resource capacity PPP planners desired to expand—at the reaction level. This level addresses how the participants feel about the program and its various components. These aspects may involve the trainer, the content, and the experience. Planners considered measures at this level because of the positive impact of participant satisfaction, motivation, and receptiveness on participant learning. A participant satisfaction survey, shown in **Appendix E**, was distributed quarterly coinciding with sessions 5, 10, 15, and 20. SERVE staff



analyzed results and reported to facilitators, key district personnel, and participants. This instrument gathered ratings of participant satisfaction with the seminar sessions and facilitators, as well as their perceptions regarding the impact the program would have on their knowledge, professional practices, and student performance. These formative evaluations also sought participant feedback through open-ended questions pertaining to expectations, additional topics for seminars, the perceived value of the sessions, suggested changes, and accessibility of the facilitator. Other data collected by program designers included attendance records and records of program and assignment completion.

Second, planners measured participants' growth at the learning level. This addresses the acquisition of knowledge, improvement of skills, or change in attitudes that result from the training program. A 1999–2000 evaluation report (Snyder, 2000) for the PPP stated that interviews with facilitators, reviews of participant assignment descriptions, and examinations of work products suggested a relatively informal approach to monitoring and defining learner progress. Facilitators gained an intuitive grasp of individuals' learning based on the close mentor–mentee relationship. The mentoring and coaching component of the PPP seemed to contribute in-depth feedback on performance and clarification of expectations that facilitators had for each participant. Following recommendations from that evaluation, facilitators addressed some of the drawbacks of informal, intuitive evaluation by introducing more clarity and consistency to their performance expectations and modifying their assessment strategies. These modified strategies, used in 2000–2001, were based on the belief that a truly effective process of assessing the quality and depth of learning should itself be a learning experience for the person being assessed. The intent of the PPP assessment strategy was to gather information that helped participants, program designers, and facilitators achieve high quality in process and product. Planners also intended to encourage further learning on the part of the participants by focusing assessments on key components and by linking the assessment process with learner reflection.

To assess participant knowledge of specific content, a short-answer quiz addressing information presented in the seminars was given at the end of the year. Each participant in the PPP also prepared a self-directed analysis of the features of PPP that had the most positive impact on participants and facilitators. In addition, participants completed an in-depth examination of chosen content areas in which they described their thinking and application at the information, knowledge, understanding, and wisdom levels according to Russell Ackoff's (1999) *Forms of Content of the Human Mind*. Facilitators conducted exit interviews with individual participants after successful completion and defense of the portfolio. These occurred from 7 to 12 months after the end of the program year. To assess program effectiveness by measuring participants' knowledge and understanding of content, the interviewers asked participants to describe concepts presented in the



program and argue the merits of using systems perspectives and self-mastery for improving school leadership.

The culminating event for evaluation of participant learning was the presentation of a portfolio of work products. The candidate first self-reviewed the portfolio. The participant then presented actual portfolio documents to the facilitator, and the participant and facilitator held an in-depth discussion on program content and personal experiences. **Appendix F**, Portfolio Checklist, contains the list of required portfolio documents. The portfolio exemplars of achievement were based on the program content during the formal seminars, outside reading and journaling, specific assignments and applications of knowledge, personal assessments, and mentoring. The participant presented the portfolio as evidence of his or her personal development and preparedness for the role of the principal. If the facilitator judged the portfolio and defense to be of high quality, the participant scheduled a presentation of his or her portfolio to the district superintendent as evidence of his or her preparation for the role of principal and commitment to the district. If, on the other hand, the facilitator judged the portfolio and defense to be not yet up to standard, the participant was encouraged to review and revise his or her work, attend other sessions of the PPP as an invited guest, and receive special coaching. The participant then scheduled a follow-up oral defense with the facilitator.

A third level of participant growth—behavior—was also assessed. This level pertains to the use or application of new knowledge or skills acquired in training and applied at the school site. By measuring the degree of transfer from the PPP seminars and written exercises to the participants' school settings, evaluators attempted to ascertain the transfer of theory into practice.

Facilitators encouraged participants to apply the concepts from seminars and outside readings to their work-site situations. A Learning Application Example form, also referred to as a STAR© (Situation, Task, Action, Result) Report, provided the structure for participants to describe the situation of the application, the task, the action taken by the participant, and the result of the action. During mentoring sessions, facilitators had opportunities to evaluate and comment on the application.

In follow-up interviews conducted with a sample of participants after completion of the PPP, researchers asked individuals to identify factors that the PPP contributed to their on-the-job performance. These self-report measures added to the evidence of behavior change or application of learned concepts and skills gathered in facilitator-participant conferences and through STAR© Reports.

School Improvement

Again referring to Kirkpatrick's (1996) four-level evaluation model, program developers can consider another area of program evaluation—results. Though not explicit and often not measurable, results in schools can be framed around student motivation, student learning, and student transfer of knowledge to applications in and out of school (Naugle, Naugle, & Naugle, 2000). If students are successful, schools are successful. If schools are successful, however, principals' behaviors can account only partially for the success. The premise behind measuring school improvement (i.e., results) as a way of measuring principal-preparation program effectiveness is that effective school leaders have proven to be key contributors to the enhancement of academic performance (National Staff Development Council, 2000).

Assessing the correlation between successful applications of program concepts and school improvement (as exemplified by quality of work life, organizational structure and culture, student achievement, and stakeholder satisfaction with the school) requires a multi-year effort. It assumes that districts will provide those who complete the program the opportunity and system support necessary to fully apply the PPP philosophy, theory, strategies, and tactics at the school sites. For such a complex evaluation, significant effort, resources, and time need to be committed to planning and carrying out the investigation. The district leaders, professional development staff, and PPP facilitators reported that one year after the program was implemented in Duval County, insufficient data had been collected to measure the results of the PPP. Researchers collected anecdotal reports from participants, and some of the observations linked PPP results to data that have historically been collected for various reasons. These data include the number of discipline referrals or incidents and student test scores. This correlation points out an important consideration in program evaluation at this level. Although the process is complex and requires an extended amount of time, preliminary indicators may be available through time-honored data collection processes.

Considerations Regarding Evaluation
Who will evaluate the program?
At what level(s) will the program be evaluated (reaction, learning, behavior, results)?
What aspects of the program will be evaluated?
When and over what period of time will these aspects be evaluated?
What measures will be taken?
What instruments will be used?
To whom will evaluation results be reported and in what form?
For what will evaluation results be used?

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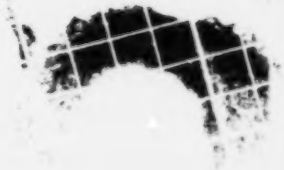
Chapter 9

Lessons Learned



Lesson 1: Coordinate
Lesson 2: Be systematic and proactive
Lesson 3: Maximize opportunity for individual attention
Lesson 4: Be purposeful
Lesson 5: Make links
Lesson 6: Use variety and consistency
Lesson 7: Involve current principals
Lesson 8: Use one logistics handler
Lesson 9: Communicate
Lesson 10: Consider the time
Lesson 11: Plan evaluations
Lesson 12: Follow through
Lesson 13: Involve district leaders

For this section, researchers examined the events and outcomes of the PPP's implementation in Duval County for ideas, issues, and questions that others could use to facilitate the development and implementation of other principal development programs. The lessons emerged by looking at what was done right as well as what could have been done differently. For organizational purposes, the lessons coincide with the chapters in this document regarding design and management, participants, content, delivery, logistics, and evaluation. This organizational tool allows convenient cross-referencing between the chapters, which describe general factors to consider and specific procedures used in the planning and implementation of the Duval-SERVE PPP, and the lessons learned, which illustrate the costs and benefits of doing things the way Duval-SERVE did.

Design and Management

Lesson 1: Coordinate

One of the lessons learned from the Duval-SERVE program was the importance of a coordinated up-front effort to establish goals, to identify desired end products and criteria for success, and to define the linkage between the goals and the end products. This planning was most effective when program designers, county professional development

staff, and district leaders worked together to ensure clear communication, buy-in, agreement, and approval of program goals. Collaborative planning for the link between program goals and district goals and for the link between program goals and certification or promotion also was found beneficial to subsequent program implementation.

Lesson 2: Be systemic and proactive

Another lesson learned from the Duval–SERVE PPP involved the relationship of the program to other programs. Those involved in the PPP emphasized the need for maintaining the integrity of the process. To do this, it was necessary to systematically and consistently employ the selection procedures, the procedures for demonstration of competencies, the job interview procedures, and the promotion procedures. Because of Duval County's transition from its previous principal training program to the PPP and because of the formative stage of the PPP itself, the district deemed some changes necessary during the program's implementation. Proactive communication and explanation of these changes may have averted participants' confusion regarding how the district selected participants and the expectations that were held by facilitators and district personnel for participants' performance.

Other Considerations Regarding Design and Management

- How are program goals linked to overarching district goals?
- Who will be involved in setting program goals?
- What mechanisms will be used to help ensure appropriate linkages between goals and implemented procedures?
- What internal and external conditions exist that will affect the program design and management?
- How will existing programs be phased out and the new program be phased in?

Participants

Lesson 3: Maximize opportunity for individual attention

The first cohort of participants in the PPP consisted of 20 principal aspirants. In the second year of the Duval–SERVE partnership, the participant number doubled. Subsequently, planners added program facilitators to keep the participant-to-facilitator ratio low. In post-program interviews, participants and facilitators indicated that the opportunity for individual attention from and contact with the program facilitator was beneficial.

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Lesson 4: Be purposeful

In interviews held after completing the program, participants indicated that they perceived the participant selection process to be inconsistent. Some stated that a more discriminating selection process might improve the program. Participants also noted the perceived benefits of basing selection on legitimate criteria. Whether the perceptions of inconsistent or indiscriminate selection are substantiated or not, they do underscore the importance of purposeful attention to the processes of participant identification and selection. Primarily, participants identified themselves—a practice that could be expanded to include identification by current principals, peers, parents, and community members. Human resource staff used the Principal Perceiver Interviews (Gallup, 1993) in an effort to identify systematically individuals with the talents the developers of the Principal Perceiver Process associated with success in the principalship. Gallup organizes these criteria into themes such as Commitment, Developer, Stimulator, Relator, and Ego Drive. In addition to the purposeful administration of such a process, the purposeful and consistent communication of its use to all stakeholders was important in Duval County.

Other Considerations Regarding Participants
What is the lowest possible participant:facilitator ratio? What criteria will be used to identify potentially high-quality leaders? How will the purposeful and consistent use of such criteria be communicated to stakeholders?

Content

Lesson 5: Make links

Researchers learned lessons regarding the content of a principal development program that are both curricular and meta-curricular. At the curricular level, it is beneficial to engage participants in lessons about the cognitive and behavioral styles that are found in best practices of school leaders. The content of the *Natural Forces* text provided the basis upon which participants could develop a set of supportable beliefs. Taken a step further, the content needs to include lessons on how to link those beliefs with participants' actions and reactions in a variety of situations. In other words, a principal development program is optimal when the content includes theory for developing a system of beliefs and covers the issues of examining congruency and realignment between the theory and one's behavior.

The lesson learned about making links at the meta-curricular level pertains to the relationship between the school district's needs and expectations and to how the content of a program can address those needs and meet those expectations. A district with a clear understanding of the school principal's job description is in a position to

provide content that will facilitate the successful performance of those roles and responsibilities. Attention to this link between district direction and program content is important for the satisfaction of participants, the performance of participants, and the ultimate goal of school improvement.

Other Considerations Regarding Content
How will theory and practice be linked? How will district needs and program content be linked?

Delivery

Lesson 6: Use variety and consistency

The four main features of the Duval County–SERVE PPP were (a) seminars, (b) independent study and application, (c) mentoring, and (d) teaching to learn. Within each of these features, various strategies were employed to engage and motivate the learners, to accommodate various learning styles or preferences, and to take advantage of differences in facilitator expertise. Just as important as the variety, however, was the consistent use of certain activities. Creating coherence across and within meetings provided participants with a predictable platform for learning.

Lesson 7: Involve current principals

The findings of the Duval County–SERVE PPP case study regarding program delivery are reflected in the National Staff Development Council standards (NSDC, 1995). The NSDC standards espouse the need to provide support for adult learners and to have activities related to the learners' contexts. The PPP design included mentoring by program facilitators and application activities that participants reported and discussed. Additionally, follow-up interviews revealed the need for involvement of current principals to extend the support and applied learning opportunities given by facilitators external to the participants' day-to-day contexts. Principals could facilitate the acquisition of site knowledge and application of learned concepts in a local context. They could be involved as observers, mentors, session facilitators, partners in introductory seminars, role models for shadowing experiences, and as on-site trainers.

Other Considerations Regarding Delivery
How will current principals be involved in the program delivery? What processes will ensure that principals inform program revisions?

Logistics

Lesson 8: Use one logistics handler

Having one individual whose primary or sole responsibility is the leadership development program will help to align the other lessons learned in Duval County. Acute attention to the details of meeting times and facilities, acquisition and timely distribution of materials, the use of equipment, database management, and ongoing evaluations require one person with full access to all stakeholders and without competing responsibilities.

Lesson 9: Communicate

Another lesson learned during the Duval–SERVE partnership was the importance of communication. A well-maintained database of participants, schools, facilitators, and others directly involved in the program implementation is crucial for communicating everything from the program goals, to the changes in district requirements, to the logistical details. Communication originating from the liaison must be supported from efficient communication channels within the schools. District personnel, facilitators, and participants employed written memos, e-mail messages, facsimiles, and telephone calls for various purposes. Each method of communication holds its own advantages and disadvantages. For example, while e-mail can accommodate scheduling conflicts, not all stakeholders may have access to e-mail. Also, written memoranda can be reliably distributed to all stakeholders, but preparing written documents can be time consuming.

Lesson 10: Consider the time

Determining the optimal time (when) and duration (how long) of program activities is tough. In post-program interviews, participants indicated a desire to meet at a time that was more convenient for them. Suggestions included meeting during the day rather than at night and providing participants with flextime for mentoring and observing opportunities. The length of the program seemed to be important as well. Several participants suggested increasing the length of the program as a way to improve it.

Other Considerations Regarding Logistics

- What are the responsibilities of the person managing logistics? Are they primarily related to the development program?
- How will databases be kept current and complete?
- What school-based supports are needed for communication?
- When will participants participate?
- What will be the length of the program?

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Evaluation

Lesson 11: Plan evaluations

Another lesson learned from the Duval County–SERVE PPP has to do with planning for evaluations. SERVE researchers recommended several evaluative components that would answer questions pertaining to what would be assessed, how it would be assessed, what changes would be made as a result of assessment results, and what factors affected the success of the program. Researchers recommended these components for inclusion in the overall program plan. Key players planned to use regular formative assessments of participant growth and longer-term measurements of school improvement. Additionally, district personnel planned to measure the attainment of regulatory mandates by examination of the completed mechanism for principal selection and certification. Perhaps what to measure was not sufficiently communicated, so different stakeholders identified different measures of attainment of program goals. Some measures were those of procedure or reaction, most were of participant learning, and a few were of knowledge application.

Lesson 12: Follow through

Another lesson regarding evaluation is implied rather than explicitly found in the case study because the examination of program outcomes in terms of school improvement was premature at the time of this case study. The assessment of the PPP's impact on school improvement is incomplete without follow-through by involved stakeholders over a multi-year period.

Other Considerations Regarding Evaluation
☐ What processes will be used to ensure consistent understanding of measurement plans? ☐ Who will be accountable for follow-through on long-term evaluations?

Integration of Program Components

Lesson 13: Involve district leaders

A final lesson learned that encompasses all of the program components discussed—design and management, participants, content, delivery, logistics, and evaluation—is that district-level leaders need to be involved from the first planning discussions through the final evaluation. It is critical for this involvement to take the form of collaborative planning, approval, acceptance, and support.

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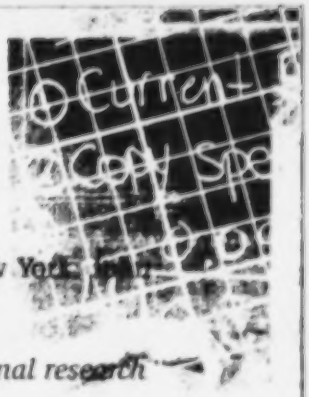

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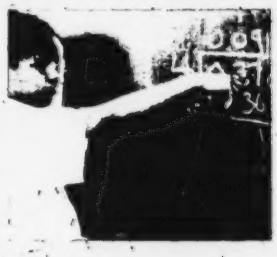

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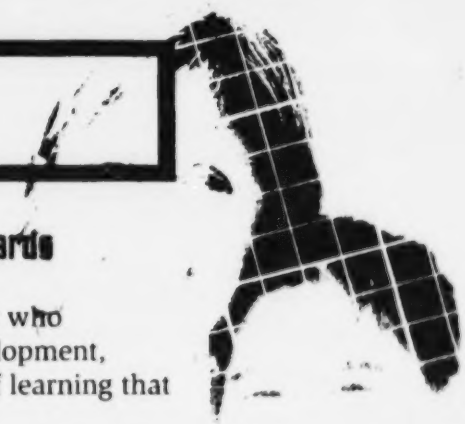
APPENDIX A



Interstate School Leaders Licensure Consortium Standards

Standard 1: A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.

Standard 2: A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

Standard 3: A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.

Standard 4: A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.

Standard 5: A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner.

Standard 6: A school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

APPENDIX B

The 1999–2000 Duval County–SERVE PPP Psychological Contract

THE FACILITATORS AGREE TO:

- Focus on leadership
- Be well organized
- Maintain confidentiality
- Be accepting/open
- Be honest
- Focus on performance
- Challenge current thinking
- Be punctual
- Maintain high standards
- Be willing to mix work, play, and learning

THE PARTICIPANTS AGREE TO:

- Mix work, play, and learning into their leadership development experience
- Be responsible for self-mastery
- Attend all seminars and mentoring sessions, complete all assignments, and be punctual
- Become a "networker" and share with others
- Create a professional portfolio
- Balance participation with listening
- Read the books provided
- Facilitate a school renewal project
- Reflect and record insights
- Spend 1½ hours on outside work for every seminar hour

THE SCHOOL DISTRICT AGREES TO:

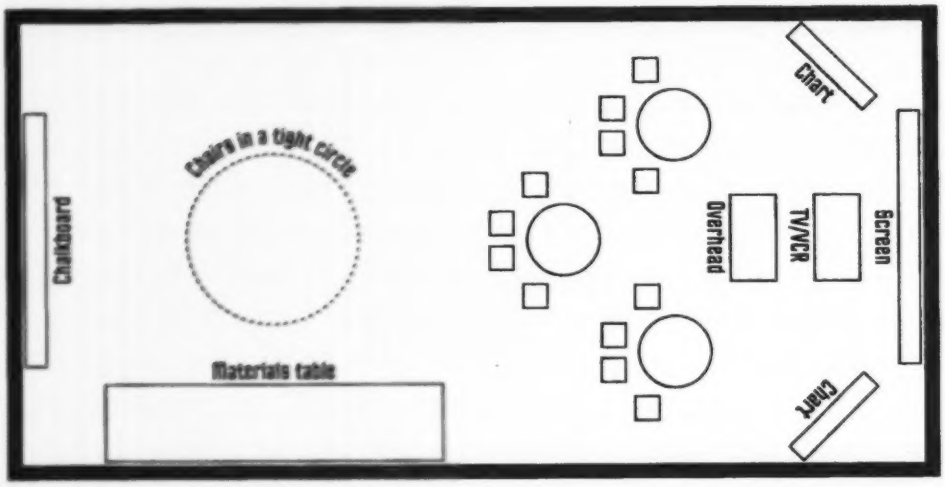
- Provide mentoring opportunities
- Provide a basic leadership library
- Follow the district's merit-based Leadership Development Program
- Schedule appropriate meeting space
- Provide a principal shadowing opportunity
- Provide needed resources
- Have the furniture and AV equipment in place in a timely manner
- Provide an opportunity to learn the art of leadership
- Provide space for the meetings
- Provide lunch for the sessions
- Purchase materials needed for the seminar
- Ensure the meeting room is properly equipped
- Complete the necessary paperwork for participant renewal credit

APPENDIX C

Example of a PPP Seminar Facilitator's Agenda

ORIENTATION—Facilitator Manual Only

Room Layout



Materials on Tables

- 3-ring notebook (2")
  - Dividers (31 numerical)
  - Special ring notebook, 3-hole punched
- 7 books per participant
  - (see attached Reading List 1–14)
- Self-Assessment Instruments
  - (see attached Self-Assessment Instrument List 1–17)
- 1 copy—VHS video—*Dances with Wolves*
- 1 copy—VHS video—*Dead Poets Society*
- 1 copy—audio tape—*The Oarsman*
- 1 copy—audio tape—*My Own Grandpa*
- Leadership Development Program Outline
- Reference Items 1–1 through 1–33

All participants at round tables

Agenda Items

1.	Welcome	Host
2.	Table Items	Facilitator
3.	Dialogue	Facilitator

Share The Four Immutable Laws of the Spirit (1-1).

Go over Sue Miller Hurst—The Disciplines of Dialogue (1-2) and Dialogue: The Power of Collective Thinking (1-3).

4. Movie Clip — *Dances with Wolves*

Show clip from movie—*Dances with Wolves*, section on dialogue

5. Small-Group Activity — Facilitator

Ask each group to share. What does this clip have to do with school?

Have the group move to the circle of chairs. There should be one chair per person; remove empty chairs from the circle.

6. Check-in — Group

Model the check-in process. Reference Check-In Agreement (1-4).

Return to round tables.

Humor—audio tape—*My Own Grandpa*. Do you know this family? Registered in your school?

7. Purpose of the Leadership Development Facilitator — Facilitator

Share your professional purpose. Reference My Professional Purpose in Life (1-5).

8. Purpose of the Leadership Development Program — Facilitator

Share The Leadership Development Program Purpose (1-6). Refer participants to handout from *Ackoff's Best*. Ask them to read this handout now. Review Organization (1-7).

9. Individual Reflection Activity—Low-Performing School Activity — Individual

Ask each participant to respond to the following:

Ask them to turn to Individual Reflection Activity—Low-Performing School Activity (1–8). Take up copies, copy and return originals during Seminar #2.

10. Psychological Contracting **Individual/Group Activity**

Ask participants to read Psychological Contracting (1–9).

Process Steps:

1. Ask each participant to review the Psychological Contract Sample (1–10).
2. Ask each participant to change any item thus reflecting what they feel is an appropriate contract.
3. Ask each participant to share their ideas with persons at their table.
4. Ask each table to report out on additions/deletions.
5. Ask participants to turn in a table copy. The facilitator will have the final copy typed and ready for Seminar #2.

11. Book Reporting Schedule **Facilitator**

Refer participants to Stages of Team Development (1–11), An Effective Team (1–12), and V-Formulation (1–13) concerning team concepts. Encourage participants to form voluntary teams. The team members will self-organize into teams. The goal is to read six books this year. Books on Reading List—Identified Books (1–14).

Using any methodology, each team will report out on each book. Reference Book Reporting Schedule (1–15). Reference Book Reporting Format (1–16).

Each team will answer the following questions using one side of an 8½" x 11" piece of paper (no more than three sheets).

Questions:

1. Identify the key ideas the author(s) shared that are critical to school performance.
2. Identify what was shared in one of the following categories:
   a. Natural law (please state the law).
   b. Practical knowledge (please state).

12. Self-Assessment Instruments

Reference Self-Assessment Instruments (1–17). Review with participants.

Reference Sample Report—Outside Work (1-18). This is a sample of the STAR© (Content Application) Report Format.

13. **Outside Work Due** **Facilitator**
   - ✓ Responses to Think and Reflect—*Natural Forces*, Preface, Introduction, Chapters 1, 2, & 3
   - ✓ Identification of key ideas

The facilitator will keep an updated 3" notebook for copies of outside work. Remind participants to place their name in the upper right-hand corner of work shared with facilitator(s).

14. **Review Reflective Journal Process** **Facilitator**

15. **"Net"worker Award** **Facilitator**

Each person will read "Net"Working Know How (1-19). The award strategy will be followed as described in 1-19. A sample of the certificate is included in the notebook (1-22). Reference Networking Recognition Strategy (1-20).

16. **Review of Overheads** **Facilitator**

Review Strategies for Improving Organization and Individual Performance (1-23), Growth and Development (1-24), Lack of Resources (1-25), A Leadership Admonition from the Top (1-26), Efficiency/Effectiveness (1-27), and The Fifth Discipline (1-28).

17. **Collect:**
   - ✓ Low-Performing School
   - ✓ Psychological Contract

Natural Forces—think and reflect—written responses due
   - ◻ Key ideas list—written
   - ◻ See Preface, Introduction, Section 1, Chapters 1, 2, & 3
   - ◻ Reference Calendar of Outside Work (1-29).

Return to the circle of chairs.

18. **Participant Information** **Facilitator**

Ask each participant to complete the information found on the Participant Information (1-31).

19. Description of 1-2-3 Activity — **Facilitator**

Ask participants to turn to Description of 1-2-3 Activity (1–33). Go over the process for current and future use.

20. Reflection Time — **Facilitator**

The facilitator will provide time for participants to reflect and write in their journals prior to playing the audiotape—*The Oarsman*.

Title of emotional offering *The Oarsman*. The facilitator will provide time and space for participants to reflect on today's program and content. The above-named item may be used to set the stage for the check-out activity.

21. Movie Clip — ***Dead Poets Society***

Think different. Make your lives extraordinary.

22. Check-out — **Facilitator/Cohort**

Have the participants sit in the circle of chairs. Encourage participants to share the personal insights they hold—the "ah-ha" moments. Model the check-out process. Each person will share what he or she is most excited about and then state, "I am out."

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APPENDIX D

Duval County Principal Career Path

Leadership Development Program

The entry point to the Principal Career Path requires an application, current principal recommendation, three or more years of successful teaching experience, evidence of completion of or progress toward Level I certification (Educational Leadership), and a structured interview with the regional directors and human resource (HR) staffing supervisors. Successful applicants will participate in leadership seminars, Leadership Development for Teachers, Professional Enhancement Program, and skill-building workshops. They will have an opportunity to participate in question-and-answer sessions with selected district staff and the superintendent.

Progress through the Leadership Development Program is based on achievement, not a time schedule. Some may complete the requirements in a year's time, while others may progress at a different rate due to personal and professional obligations.

Exit benchmarks are related to completing the requirements of the individual professional development plan, evidence of Level I certification, and a review of on-the-job performance.

Principal Certification Program, Part I

Under contract with the U.S. Department of Education, the consultants provide a standards-based program to develop personal and professional attributes of leadership found in high-performing principals. This theory-into-practice approach is rigorous and focused on self-knowledge and awareness. Through selected readings, discussion, and action research, participants hone both their skills and their knowledge of school improvement and instructional leadership.

The entry point is appointment to the position of vice principal, TIS (year 2 or longer), or Cluster Leader and successful completion of the Leadership Development Program. The participant must maintain satisfactory on-the-job performance throughout the year-long program and develop a portfolio commensurate with his or her duties and responsibilities.

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Successful participants will exit upon the recommendation of the consultants, the supervising principal, and the regional director.

Principal Certification Program, Part II

The third phase of the Principal Career Path is a 12-week program of mentoring by a cadre of selected principals. It extends and reinforces the theory-into-practice approach of the program and provides opportunities for shadowing, direct mentoring, and on-the-job application activities. A coaching and feedback model is used.

The program continues throughout the year and is provided thorough release time as a commitment to the "best practices" for adult learning.

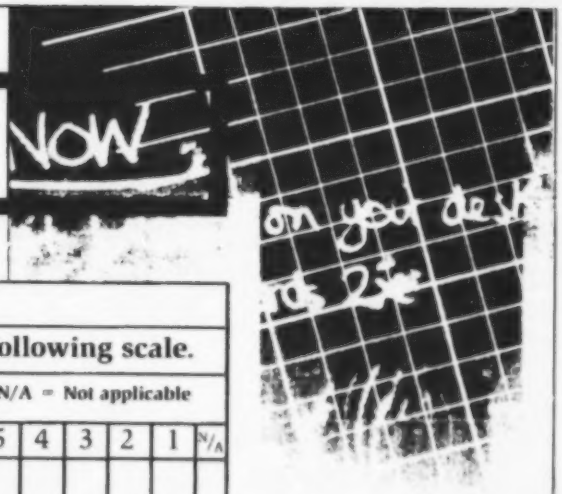
Participants enter the program as successful completers of Part I and must demonstrate proficiency in the standards noted for program exit. The mentor principals recommend successful participants to the regional superintendent, the supervising principal, and the HR director for final review and recommendation for Level II certification.

The Transition Year

This school year (2000–2001) is the transition year from the training programs last revised in 1997–1998 to the full implementation of the new programs for 2001–2002. Many participants will be offered preparation activities consistent with the position currently held by the school district. Some participants will need assistance to match their degree and training to date with the position they may be holding. The transition year is designed to "leave no one behind" while realigning selection, preparations, and evaluation.

Further, a voluntary opportunity has been offered by Dr. Green for completers of PPPII who are not yet serving as principals to continue training with him. The regional superintendents reviewed those eligible by virtue of finishing PPPII and recommended those who would have the option of an additional year. Accepting the opportunity is by agreement with the supervising principal only.

Appendix E



SERVE Participant SatisFaction Survey						
Directions: Evaluate the overall session using the following scale.						
5 = Excellent 4 = Good 3 = Satisfactory 2 = Fair 1 = Poor N/A = Not applicable						
Facilities/Logistics	5	4	3	2	1	N/A
Directions to the session						
Location (city/town)						
Location (facility)						
Facilities						
Breaks and refreshments						
Session	5	4	3	2	1	N/A
Clarity of session goals						
◘ Well-organized (planning)						
◘ Timeliness						
◘ Session delivery						
Materials/handouts (e.g., notebooks, publications, duplicated overheads)						
Audio/visual materials						
Overall length						
Pacing/transitioning between topics						
Activities/exercises						
◘ How well the session met your needs and expectations						
◘ Overall quality						
How do you rate the presenter's/presenters'	5	4	3	2	1	N/A
knowledge?						
preparation?						
enthusiasm?						
effectiveness?						
Do you think the session will have an impact on	Yes		No		Not Sure	
increasing awareness of important new skills and knowledge?						
informing decision making and planning?						
changing or enhancing the quality of professional practices?						
positively affecting student performance?						

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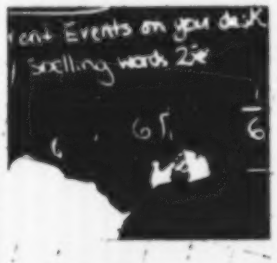


What other issues/topics do you think should be included in other sessions?

How valuable was this session in terms of what you learned for the time and expense involved?

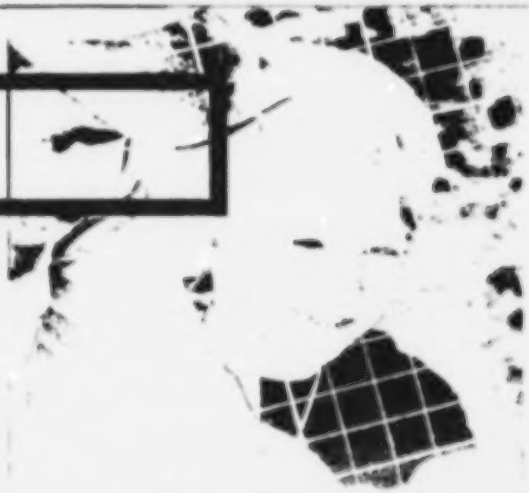
What changes will you make as a result of this session?

What expectations did you have for this session that were not met?

What issues affecting schools do you believe SERVE should address in the future?

Did you have adequate one-on-one access to the presenter(s)?

APPENDIX F



Portfolio Checklist

- Personal Leadership Description
- Personal Professional Development Plan
- Personal Professional Values List
- Personal Professional Purpose Statement
- Personal Vision of a World Class School
- School Improvement Project
- Leadership Book Forms
- Personal Time Management Review
- Formal Assessments (includes function/task analysis)
- Reflections/Insights Journal
- Personal Review/Documentation of Principal Competencies
- Self-Assessments
- Self-Mastery Project
- Professional Vita to Include Copy of Teaching Certificate
- List of Resources Shared to Include Networking Efforts (include chart)
- Program Content Application Descriptions
- Comments from Supervising Principal
- Awards, Recognitions, Professional Affiliations
- Summary of Shadowing Experience
- Plan for Achieving Personal/Professional Balance
- Psychological Contract
- Content Application Description Forms (all)

About SERVE

SERVE, directed by Dr. John R. Sanders, is an education organization with the mission to promote and support the continuous improvement of educational opportunities for all learners in the Southeast. The organization's commitment to continuous improvement is manifest in an applied research-to-practice model that drives all of its work. Building on theory and craft knowledge, SERVE staff members develop tools and processes designed to assist practitioners and policymakers with their work, ultimately, to raise the level of student achievement in the region. Evaluation of the impact of these activities combined with input from affected stakeholders expands SERVE's knowledge base and informs future research.

This vigorous and practical approach to research and development is supported by an experienced staff strategically located throughout the region. This staff is highly skilled in providing needs assessment services, conducting applied research in schools, and developing processes, products, and programs that inform educators and increase student achievement. In the last three years, in addition to its basic research and development work with over 170 southeastern schools, SERVE staff provided technical assistance and training to more than 18,000 teachers and administrators across the region.

SERVE is governed by a board of directors that includes the governors, chief state school officers, educators, legislators, and private sector leaders from Alabama, Florida, Georgia, Mississippi, North Carolina, and South Carolina.

At the core of SERVE's business is the operation of the Regional Educational Laboratory. Funded by the U.S. Department of Education's National Institute for Education Sciences, the Regional Educational Laboratory for the Southeast is one of ten programs providing research-based information and services to all 50 states and territories. These Laboratories form a nationwide education knowledge network, building a bank of information and resources shared nationally and disseminated regionally to improve student achievement locally. SERVE's National Leadership Area, Expanded Learning Opportunities, focuses on improving student outcomes through the use of exemplary pre-K and extended-day programs.

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In addition to the Lab, SERVE operates the Southeast Eisenhower Regional Consortium for Mathematics and Science Education and the SouthEast Initiatives Regional Technology in Education Consortium (SEIR◆TEC). SERVE also administers a subcontract for the Region IV Comprehensive Center and has additional funding from the Department to provide services in migrant education and to operate the National Center for Homeless Education and the Adjunct ERIC Clearinghouse on Homeless Education.

Together, these various elements of SERVE's portfolio provide resources, services, and products for responding to regional and national needs. Program areas include Assessment, Accountability, and Standards; Children, Families, and Communities; Education Leadership; Education Policy; Improvement of Science and Mathematics Education; Reading and School Improvement; and Technology in Learning.

In addition to the program areas, the SERVE Evaluation Unit supports the evaluation activities of the major grants and contracts and provides contracted evaluation services to state and local education agencies in the region. The Technology Support Group provides SERVE staff and their constituents with IT support, technical assistance, and software applications. Through its Publications Unit, SERVE publishes a variety of studies, training materials, policy briefs, and program products. Among the many products developed at SERVE, two receiving national recognition include *Achieving Your Vision of Professional Development*, honored by the National Staff Development Council, and *Study Guide for Classroom Assessment: Linking Instruction and Assessment*, honored by Division H of AERA. Through its programmatic, technology, evaluation, and publishing activities, SERVE provides contracted staff development and technical assistance in specialized areas to assist education agencies in achieving their school improvement goals.

SERVE's main office is at the University of North Carolina at Greensboro, with major staff groups located in Tallahassee, Florida, and Atlanta, Georgia, as well as satellite offices in Durham, North Carolina, and Shelby, Mississippi. Unique among the ten Regional Educational Laboratories, SERVE employs a full-time policy analyst to assist the chief state school officer at the state education agencies in each of the states in the SERVE region. These analysts act as SERVE's primary liaisons to the state departments of education, providing research-based policy services to state-level education.

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John R. Sanders, Ed.D. ◘ Executive Director

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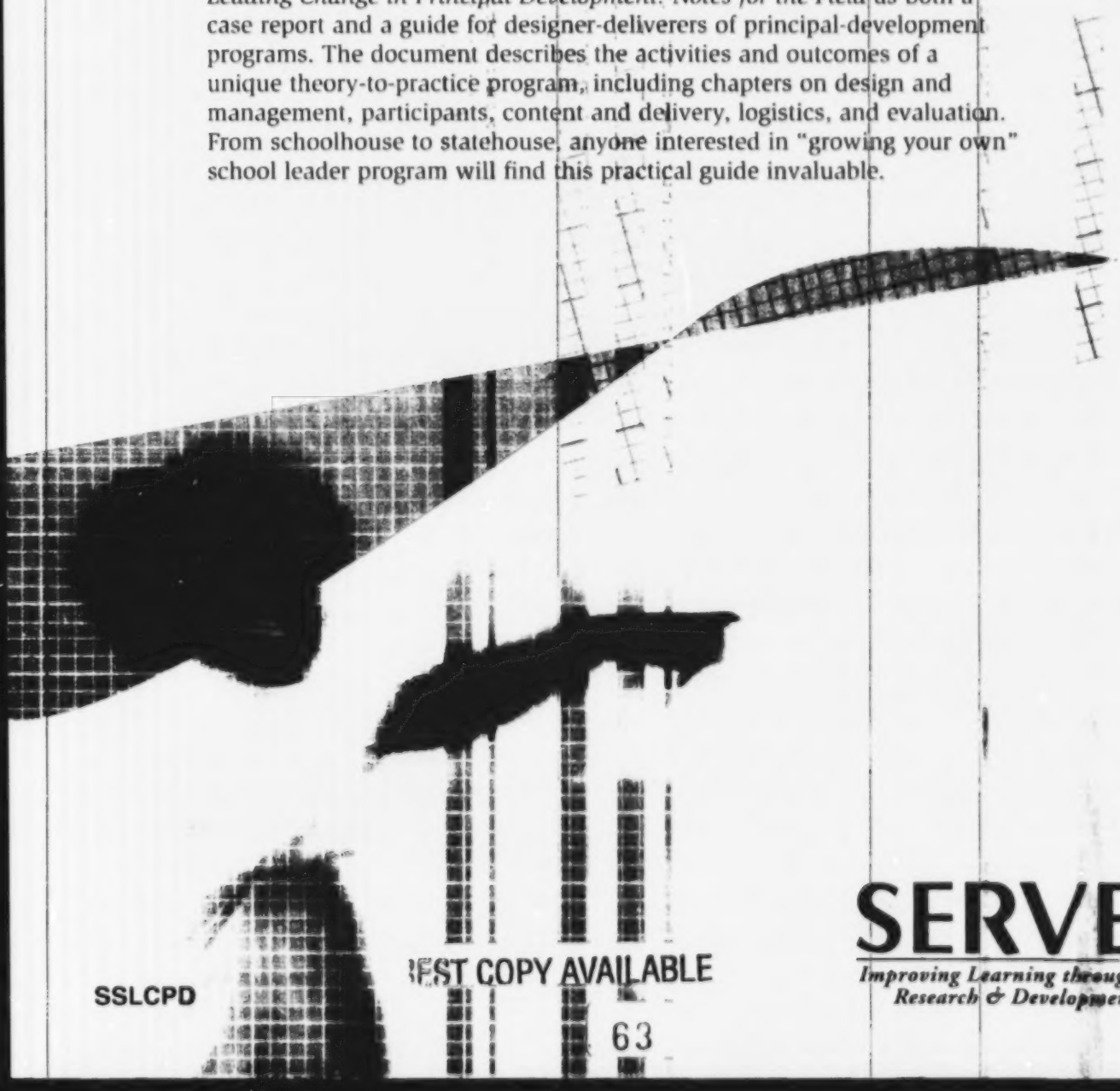
In the quest for improving America's schools, education reformers have devoted increasing attention to the role of the principal. This role is being revised to address the challenge of preparing students for the Information Age's global marketplace. The growing consensus of education scholars and policymakers is that principals are not adequately prepared, and our decades-old understanding of principal work is obsolete.

Building from a partnership with a southeastern district, SERVE presents *Leading Change in Principal Development: Notes for the Field* as both a case report and a guide for designer-deliverers of principal-development programs. The document describes the activities and outcomes of a unique theory-to-practice program, including chapters on design and management, participants, content and delivery, logistics, and evaluation. From schoolhouse to statehouse, anyone interested in "growing your own" school leader program will find this practical guide invaluable.



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